

# Macquarie Individual and Sole Traders identification form

Macquarie Bank Limited ABN 46 008 583 542



## Guide to completing this form

- Complete sections 1, 2 and 3. Refer to identification Documents for further information.
- Complete section 4 where unable to provide any of the below required identification documents.
- Each individual who is a signatory on your account(s) must complete their own form
- Complete all applicable sections of this form in **BLOCK LETTERS**

## Identification Documents

Attach a legible certified copy of the ID documentation (and any required translation), satisfying at least ONE of the below part. If the individual does NOT own a document from Part I, then complete either Part II or III. Identification documents must have been certified within the last 12 months, at the time of acceptance by us.

- |  |   |
|--|---|
| <ul style="list-style-type: none"><li>• <b>Part I – acceptable primary photographic ID documents</b></li></ul>   | <p><b>Provide ONE valid option from this section only (all documents must contain a photograph of the person):</b></p> <ul style="list-style-type: none"><li>• Australian State/Territory driver's licence</li><li>• Australian passport (a passport that has expired within the preceding 2 years is acceptable)</li><li>• Card issued under a State or Territory for the purpose of proving a person's age</li></ul>  |
| <ul style="list-style-type: none"><li>• <b>Part II – acceptable secondary ID documents</b></li></ul>             | <p><b>SHOULD ONLY BE PROVIDED IF YOU DO NOT OWN A DOCUMENT FROM PART I</b></p> <p><b>Provide ONE valid option from this section:</b></p> <ul style="list-style-type: none"><li>• Australian birth certificate</li><li>• Australian citizenship certificate</li><li>• Pension card issued by Department of Human Services (previously known as Centrelink)</li></ul> <p><b>AND</b></p> <p><b>ONE valid option from this section (all documents must contain the person's name and residential address):</b></p> <ul style="list-style-type: none"><li>• A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the person</li><li>• A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the person to the Commonwealth (or by the Commonwealth to the person)</li><li>• A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person</li></ul> |
| <ul style="list-style-type: none"><li>• <b>Part III – acceptable foreign photographic ID documents</b></li></ul> | <p><b>SHOULD ONLY BE PROVIDED IF YOU DO NOT OWN A DOCUMENT FROM PART I OR PART II</b></p> <p><b>Provide ONE valid option from this section only (all documents must be current and contain a photograph of the person):</b></p> <ul style="list-style-type: none"><li>• Foreign driver's licence that also contains the person's date of birth</li><li>• National ID card issued by a foreign government that also contains a signature of the person</li><li>• Foreign passport or similar travel document also containing the signature of the person</li></ul>   |

1

## Individual identification procedure

### 1.1 Personal details

Title:

First and middle name(s):

Common names (if different to above):

Surname:

Date of birth:  /  /  Occupation:

**Residential address** (PO Box is NOT acceptable)

Street name and number:

Suburb:  State:  Postcode:

Country:

Are you a sole trader?  Yes ► go to section 1.2  No ► go to section 2

## Individual identification procedure (continued)

### 1.2 Sole trader details

Full business name:

ABN (if any):

**Principal place of business (if any)** (PO Box is NOT acceptable)

Street name and number:

Suburb:

State:

Postcode:

Country:

Business activity:

## 2

## Tax information

Tax Residency rules differ by country. Whether an individual is tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. For the US, tax residency can be as a result of citizenship or residency.

Please answer **both** tax residency questions:

### Are you an Australian resident for tax purposes?

Yes

No

### Are you a tax resident of another country?

Please note, if you have provided foreign identification documents from Part III above, and have indicated that you are not a foreign tax resident of another country, you may be required to provide additional documentation.

No ► **go to section 3**

Yes. If the individual is a tax resident of a country other than Australia, please provide their tax identification number (TIN) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Please note a US TIN must be provided if you are a US Specified Person. This is a mandatory requirement and a TIN exemption reason will no longer be accepted. The account cannot be opened without a US TIN.

Country 1	Country 2	Country 3
Country <input type="text"/>	Country <input type="text"/>	Country <input type="text"/>
TIN (if no TIN, list reason A, B or C) <input type="text"/>	TIN (if no TIN, list reason A, B or C) <input type="text"/>	TIN (if no TIN, list reason A, B or C) <input type="text"/>

**Reason A:** The country of tax residency does not issue TINs to tax residents

**Reason B:** The individual has not been issued with a TIN

**Reason C:** The country of tax residency does not require the TIN to be disclosed

Please cross this box if there are more countries, provide details on a separate sheet.

### 3

## Certification of identification documents

Copies of the required identification must be certified and confirmed on the document as a true copy of an original document by one of the following persons:

1. a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described)
2. a judge of a court
3. a magistrate
4. a chief executive officer of a Commonwealth court
5. a registrar or deputy registrar of a court
6. a Justice of the Peace
7. a notary public (for the purposes of the Statutory Declaration Regulations 1993)
8. a police officer
9. an agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
10. a permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
11. an Australian consular officer or an Australian diplomatic officer (within the meaning of the *Consular Fees Act 1955*)
12. an officer with two or more continuous years of service with one or more financial institutions (for the purposes of the Statutory Declaration Regulations 1993)
13. a finance company officer with two or more continuous years of service with one or more finance companies (for the purposes of the Statutory Declaration Regulations 1993)
14. an officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more continuous years of service with one or more licensees, or
15. a member of the Institute of Chartered Accountants in Australia, CPA Australia or the National Institute of Accountants with two or more years of continuous membership.

### 4

## Electronic Verification of Identity

If you are unable to provide certified copies of the requested documents set out in this form, please provide a copy (non-certified) of your drivers license or passport (foreign or Australian).

Macquarie can then verify your identity via our third party service provider.

By providing a copy of your drivers licence or passport, and agreeing to electronic verification of your identity:

- You consent to Macquarie disclosing your personal information (including your ID document number) to our external third party service provider in order to verify your identity.
- You agree to the Macquarie Client Identity Verification Terms and Conditions

Signature

Date (DDMMYYYY)









Print Name